Section:	Title:	
Sub Section:	Title:	
Document:	Title:	AFIS WARRANTS PRINTING

1.   STANDARD

The AFIS Warrants are printed on the Xerox 4635MX MICR Printer for payment of services and goods. The MICR Printer produces these warrants with the signatures of authorized agents.

Printing, security and general operator procedures are addressed on the following pages. The high visibility and importance of producing accurate and acceptable warrants is a high priority for the I/O Operations section.

SECTION 21595.01 POLICY

1.   Operations will ensure that when changes are made to these processes, a copy will be forwarded to all the listed individuals, with advance notice of the changes made. The individuals are:

Donna Cornella (GAO)
Lee Lane DRM (SECURITY)
Operations Supervisors

2.   The AFIS Logo signature disk. A copy of the procedures, the AFIS warrant check sign out log and AFIS Logo sign/out deletion log, will be kept under lock and key in the I/O operations vault.

3.   Access to the vault will be limited to permanent state employees of the DOA Data Center Operations Staff.

4.   Two people are required to gain access to the logo diskette cabinet, located in the I/O vault. One must be either: I/O supervisor, host operations supervisor, operations manager, or designate. The second person must be a permanent state employee.

5.   The "Disk File" which contains the Logo's necessary for the printing of AFIS Warrants will be secured at all times. Two keys will be maintained for gaining access to the disk file, one will be kept in the I/O section locked key box. The backup key will be located on the third floor in the locked key box in the operations supervisor's office. This key will be signed out by authorized personnel only.

6.   A log will be required for audit purposes. It will be signed and countersigned by two people. See AFIS Warrant log procedures 21595.03 for more information. Warrants will be printed per procedures 21595.05.

Section:	Title:	
Sub Section:	Title:	
Document:	Title:	AFIS WARRANTS PRINTING

SECTION 21595.02 RESPONSIBILITY/ACTION

I/O supervisor, host operations supervisor, operations manager, or designate will perform the following:

1.   Obtain warrant paper stored in the vault. Each box will be marked with sequential form numbers. Use in sequential order.

2.   Obtain warrant vault key from the lock box in I/O supervisor's office. Sign out the key in the log.

3.   Remove floppy disk which contains the "AFIS LOGO" from the locked box in the I/O operations vault.

4.   The supervisor or operator will load the floppy to the Xerox giving the appropriate command to load the AFIS Logo. After completion of the job, return the floppy to the vault. The supervisor or designate will sign and the operator will countersign the AFIS Logo sign out/deletion log.

5.   Supervisor or designate should check for the following data if applicable.

   A. The warrant paper is stored in the vault. The boxes are in sequential order by the preprinted numbers located on the upper left corner of the paper. Loading the paper in the Xerox Printer requires extreme caution.

   B. First warrant number using the MICR inscribed digit warrant number on the bottom left corner with the MICR Decoder.

      NOTE: An I/O Operations operator must verify the form lineup is correct to ensure information contained on the warrant stub is correct.

   C. Warrant numbers must be consecutive. If there is a break in the printed warrant numbers, the I/O supervisor must be notified for restart directions.

6.   Print warrants as required (see warrant printing section 21595.05).

7.   Make proper entry on AFIS Warrant control sign-out log. See section sec22595.03 for proper procedure.

8.   Void any printed warrants used in printer lineup.

9.   Return all warrants, used, unused, and voided to the supervisor along with the serial number receipt.

10.   Verify AFIS Warrant control sign-out log entry against warrants used and voided. Ensure that log has been signed by the individual who printed the warrants.

11.   Sign AFIS warrant control sign-out log.

12.   Log warrant numbers on warrant serial number receipt.

13.   Ensure AFIS Warrant control sign-out log entries are complete and that dual signature control has been maintained.

14.   Ensure the serial number sequence is maintained, sign/countersigned procedures are completed and that the appropriate entry in the AFIS Warrant control sign-out log has been made.

15.   Return warrant vault keys to the appropriate area.

16.   Verify warrant numbers on warrant transmittal and counter-sign both. Distribute good and voided warrants as instructed by documentation. The warrants will be strapped and two copies of serial number receipts will be sealed along with the warrants.

DELIVERY

The agreed delivery time is 0900. If for any unspecified reason, I/O operations cannot make this set delivery time, the I/I supervisor or page printer operator must contact GAO control by 0700 to forewarn them that a problem exists. The phone number is 542-2122.

It is mandatory that two members of the I/O operations staff deliver the AFIS Warrants to GAO. If the staff is unavailable, the I/O supervisor will contact the Operations supervisor in order to obtain an additional person for the delivery. Under no circumstances will only one staff member deliver the AFIS Warrants.

At GAO, the I/O operations personnel will wait for GAO personnel to perform verification of warrants. GAO personnel will sign and return the serial number receipt (form DOADC-7) to the Data Center and lock it in the I/O operations vault. GAO will be called and a time for the drop off of the warrants will be obtained.

Section:	Title:
Sub Section:	Title:
Document:	Title: AFIS WARRANTS PRINTING

SECTION 21295.03   SECURITY

1. **AFIS Logo Disk:** The AFIS Logo disk will be secured at all times in the vault located in the I/O section. The I/O supervisor is assigned the responsibility for the security of the AFIS Logo disk.

2. **Limited Access:** Vault combinations will be given to authorized individuals only. A list of those individuals given authority to access the vault will be maintained by the first shift I/O supervisor (form DOADC-223). The combination to the vault will be changed the first of each quarter of the year and each time authorized individuals leave DOA employment (Form DOADC-223).

3. The individual responsible for the printing of the warrants must maintain control of the warrants until they are boxed, sealed and sent to the AFIS Division. The I/O supervisor, Host operations supervisor, operations manager, or designate are responsible for ensuring that all procedures are followed. All permanent I/O operators are authorized to perform printing, verifying, boxing and sealing.

4. All reruns, voids, soiled or any other unusual procedure activity involving the warrants or warrant numbers, must be completely described and recorded in all the control logs and sent along with the warrants at GAO. A problem report must be generated describing the discrepancies to GAO.

5. In the event that the original AFIS Logo floppy diskette is ruined, destroyed, or otherwise determined useless, it must be cut into pieces and sent to GAO for destruction. The duplicate AFIS Logo floppy diskette will be utilized in the event of an emergency. The I/O supervisor host operations supervisor, operations manager, or designate will have access to the duplicate diskette, which will be locked in a secured area.

Three Logo's and two forms must be maintained for security/audit purposes. The logo's and forms are:
1) DOADC-29   Key sign out log
2) DOADC-224   Payroll warrant control sign out log
3) DOADC-219   Payroll / AFIS logo sign-out/deletion log
4) DOADC-26   Serial number receipt
5) DOADC-7   Expeditor serial number receipt

SECTION 21595.04 AFIS WARRANT LOG ENTRIES

Computer operations DOADC-29 Key sign out log

This log must be completed whenever the warrant vault key is signed out by an authorized individual. This log will provide a list of persons accessing this key.

Section:	Title:
Sub Section:	Title:
Document:	Title: AFIS WARRANTS PRINTING

1. Date key was signed out
2. Time key was signed out
3. Time key was signed back in
4. The initials of the I/O operations supervisor, host operations supervisor, operations manager or designate who opened the lockbox and oversaw the key sign out procedure.
5. The second initials must be a permanent state employee operator. This person's name must appear on the vault access list (form DOADC-223) maintained by the first shift I/O operations supervisor. See section 21594.04 security.

Computer operations DOADC-219 AFIS Logo Sign out/deletion log

This log must be completed whenever the payroll logo is removed from the vault.

The following information is completed immediately upon removing checks from the vault.

1. Date AFIS Logo removed from the vault.
2. Time AFIS logo removed from the vault.
3. Initials of I/O supervisor, host operations supervisor, operations manager or designate.
4. Initials of permanent state employee I/O operations operator.

The following information is completed immediately upon returning the AFIS Logo back to the vault.
1. Time logo placed back in the vault
2. Initials of I/O supervisor, host operations supervisor, operations manager or designate who made sure the logo is deleted.

Computer Operations DOADC-224 AFIS Warrant Control Sign out Log

Must be completed whenever valid AFIS Warrants are produced.

When AFIS Warrants are removed from the I/O operations vault, the following information must be completed: (see below for after completion of printing).

1. Date AFIS Warrants signed out
2. Initials of I/O supervisor, host operations supervisor, operations manager or designate
3. Initials of permanent state employee I/O operations operator

Upon completion of printing warrants:

1. Beginning warrant number – this number is the first setup warrant printed
2. Ending warrant number – this number is the last valid warrant printed
3. Date AFIS Warrants printed

4. Job Number
5. Warrant serial number receipt
6. Beginning warrant number – this number is the first setup warrant printed
7. Ending warrant number – this number is the last valid warrant printed
8. Initials of I/O supervisor, host operations supervisor, operations manager or designate
9. Initials of permanent state employee I/O operations operator

When warrants are ready to be returned to the I/O operations vault:

1. Date AFIS warrants signed in
2. Initials of I/O supervisor, host operations supervisor, operations manager or designate
3. Initials of permanent state employee I/O operations operator

Computer operations DOADC-26 serial numbered receipt

This log must be completed whenever warrants are produced and transported to GAO control.

1. Date AFIS Warrants produced
2. Job Number
3. Initials of I/O operator who produces form
4. Circle AFIS (This form is also used to transport payroll warrants and direct deposits)
5. Beginning AFIS Warrant number
6. Ending AFIS Warrant number
7. JAM - entered here are the total number of AFIS warrants produced that are illegible caused by printer failure.
8. VOIDS – Enter here are duplicate AFIS Warrant caused by printer error, an explanation of what caused error; list the problem report number on the form.
9. This form must be completed and wrapped with the AFIS warrants for transportation to GAO control.

Computer Operations DOADC-7 – Expeditor serial number receipt

This log must be completed whenever GAO prints AFIS Warrants using the desktop technology. The AFIS system produces AFIS warrant numbers internally, for that reason; this form must be completed so that form DOADC-224 AFIS Warrants control sign out log will be in the proper sequence. The following procedure must be followed by AFIS control upon completion of an expeditor run:

1. Date AFIS Warrant produced
2. Initials of AFIS control personnel who is producing the form
3. Circle AFIS (this form is also used to transport payroll warrants and direct deposits)
4. Beginning AFIS Warrant number

STANDARDS AND PROCEDURES		
ARIZONA DEPARTMENT OF ADMINISTRATION		INFORMATION SERVICES DIVISION

Section:	Title:	
Sub Section:	Title:	
Document:	Title:	AFIS WARRANTS PRINTING

5. Ending AFIS Warrant number
6. Voids – beginning voids number and ending voids number
7. Call DOA I/O operations; advise the operator that an expeditor run has been completed and that an expeditor serial numbered receipt will be sent to I/O operations. Read the beginning AFIS Warrant number and the ending AFIS Warrant number to the operator. Verify that the correct numbers are being entered in the AFIS Warrant control sign out log.
8. Send the completed expeditor serial numbered receipt form to I/O operations on the next available courier run.

If errors are made in any Logs, the following procedures must be followed:

1. The I/O supervisor, host operations supervisor, operations manager or designate must draw a single line thru the entire entry. The initial of this responsible party must be entered at the end of line.

2. An entry in the I/O turnover book must be made explaining what the error was, how it occurred.

3. A copy must be made of the turnover log and the original placed in the AFIS check log where the error occurred. A copy of these procedures will be in each check log.

The following errors must not occur:

1. Overwritten entry – when a logging error is made and an attempt is made to correct the error by overwriting the entry.

2. Unreadable entry – all entries must be in a readable format to allow audit procedures to take place.

3. Use of white-out to correct errors is prohibited.

Errors that must include writing a problem report:

1. Check numbers do not match – when making an entry, the previous AFIS warrant number match showing a continuous numbering of AFIS warrants. If an error is found, the current entry must be logged; an entry is made in the I/O turnover log made and problem report written.

2. If jams on the micr printer cause duplicate AFIS warrants or a need for hand-written AFIS warrants, a problem report must be written and assigned to the operations manager. The problem report should be placed in the closed problem reports area. Notify both the data center manager and operations manager via

Section:	Title:	
Sub Section:	Title:	
Document:	Title:	AFIS WARRANTS PRINTING

email of the problem report. This must be completed to provide documentation for both the data center and AFIS.

1. Get key #8 from the key box in the I/O section. Sign for the key on the DOADC-29 Key sign out log.

2. Select the carton with the lowest preprinted numbers.

3. If more than one carton is required, select the cartons in descending order.

4. Determine if there are any partial reams left from the prior run. These will be the forms that will be on the top of the input trays.

5. Determine how many full reams you are going to place into tray 4.

6. Place the reams in tray 4 with the highest number form being at the bottom and the lowest number form being at the top.

7. Top-off the input tray with the forms mentioned in step #4.

8. Commence printing checks in normal fashion.

9. When printing stops and needs more warrant forms, remove forms remaining in tray 4.

10. Do step 4. Do step 5. Place on the top of forms from step 9.

11. When printing is complete: remove forms from tray 4, wrap and put with next case of warrant forms to be used.

12. Get the binders containing the procedure, floppy diskette from the locked box, clear wave gauge, bar char report and instructions from the vault. Make sure you sign out the "LOGO" ON THE DOADC-219 AFIS logo sign-out/deletion log.

13. Put the Xerox printer (4635MX MICR) offline. At the Xerox console enter:

"OFFLINE"

14. Logon to the MICR printer. At the Xerox console enter:

"**LOG 3 ANALYST"**

15. Check bar code at the Xerox console enter:

STANDARDS AND PROCEDURES

ARIZONA DEPARTMENT OF ADMINISTRATION   INFORMATION SERVICES DIVISION

Section:		Title:	
Sub Section:		Title:	
Document:		Title:	AFIS WARRANTS PRINTING

    A. Open up top to make sure the bar ail is set at (6.1) the red line and the black line should line up evenly.

    B. Load the aux-tray with "NO-HOLE" PAPER.

    C. Unload tray 1 & 3 leave unloaded until warrants are done.

    D. Once the bar line is correct, then place the warrant paper in tray "4" face up and green warrant portion facing north or away from you.

16. Insert the 'AFIS LOGO" FLOPPY DISK IN THE 4635mx CONTROLLER.

17. At the IBM console, set the printer up for warrants, the form name is "AFWR" for more information on printer commands refer to section 21514.2.

18. Duplicate a copy of the warrants and place copy in class "Z" and place in hold.

19. Now we are ready to start the Xerox printer, at the Xerox Console enter:

"@AFISCHK"

NOTE: The system prompts with four questions. If all four actions have been completed, enter the "Y" command. The system will then load all files from the floppy. When all files have been loaded into the system you will see:

** ATTENTION YOU MAY REMOVE CHECK RESOURCE FLOPPY**

You can then remove the floppy.

20. As soon as the warrants start to print, stop the Xerox printer and verify the warrants.

21. When warrants printing is done, enter the command "END." The job will end then the system will automatic delete all

"FONTS, FORM, AND LOG'S"

22. Remove all warrant paper from the printer.

23. Feed "AUX" (NO HOLE PAPER).

24. Now you are ready to print the "AUDIT LOG REPORT".

STANDARDS AND PROCEDURES	
ARIZONA DEPARTMENT OF ADMINISTRATION	INFORMATION SERVICES DIVISION

Section:		Title:	
Sub Section:		Title:	
Document:		Title:	AFIS WARRANTS PRINTING

25. Go to system control icon (the terminal icon).

26. Select "AUDIT LOG"

27. Select "AFISCHECK" then click the "PRINT"

28. At the "AUDIT LOG PRINT OPTIONS" click "DETAIL" and "ALL" then click apply/close the report will then print.

29. You can "CLOSE ALL" windows

30. Send "AUDIT REPORT" with warrants

     NOTE: If printer jams, remove all purge sheets from purge bin and send with audit report reprints and blanks.

31. After the warrants and audit report are done, verify that there are no duplicate or damaged warrants by visually checking. Void all duplicated/damaged warrants. Send all warrants, banner pages, and accounting page to AFIS with audit report.

32. Use the form DC224 AFIS Warrant Control Log. This will help in keeping track of the warrant printed. Make a copy and send to GAO with the printed warrants.

33. Take the printed warrants and record the information needed for the logs. Box the warrants, banner pages, duplicate/damaged, the verified warrant and printed results of verification with the strapper.

34. Put the warrants and the logs to be signed by the authorized signer as received in the vault until delivered.

35. Put the floppy diskette back in the file box and lock it. Place the procedures binder in the cabinet and sign the "LOGO" back in on the sign in/out sheet. Place the key to the diskette file box in the locked key box in the I/O section.

All damaged or improperly printed AFIS warrants will be voided. Voided, good and damaged warrants will be wrapped and sent with the serial numbered receipt, form DOADC-7.

1. If AFIS warrant are damaged or improperly printed, the supervisor must be notified of the error immediately.

2. The damaged or improperly printed AFIS Warrants will be voided by the I/O Operations operator.

3. The I/O supervisor will follow warrant log procedures indicating the error on the Serial number form receipt under comments.

4. The damaged or improperly printed AFIS warrants will be voided by the I/O operations operator.

5. The I/O supervisor will follow warrant log procedures indicating the error on the serial number form receipt under comments.

SECTION 21595.06 AUDIT

Because of the volatile nature of the documents in the warrant vault, failure to follow established policies or procedures with regard to handling of warrants will be documented in writing. A memo to the supervisor of the employee who made an error in the procedure will be written by the supervisor who conducts the audit. The employee's supervisor will issue a memo to the employee. This documentation will remain in the employee's file for a period of ninety days. A memo of the violation will also be kept in the supervisors' file of the employee for a period of one year. Repetitive incidents may result in more stringent discipline.

1. Dual control is exercised during all audits.

2. Master and warrant control logs are checked for required date, signature/counter-signature, sequence numbering.

3. Informal audits are performed weekly by the I/O operations supervisors and host supervisors on a rotation basis established by the operations manager.

4. Formal audits of the entire warrant vault are conducted every ninety days at the beginning of each quarter. Quarterly audit findings will be submitted in writing to the Data Center Manager.

    A copy of the quarterly audit will be kept in the I/O operations vault. Along with the results of the audit will be a copy of each memo sent to employees who failed to follow established policies, and also the response from the employee.

5. Security is required to perform a sixth month audit, June 30 and December 31. The findings of this audit are to be submitted to both the Data Center Manager and to payroll.

6.   Any violations observed during these audits must be reported immediately to the operations manager. The operations manager will inform the operations staff of any violations that have occurred.

WEEKLY AUDIT

1. The I/O supervisor/host operations supervisor will perform a weekly audit on a rotational basis. The audit will include:

> 1) DOADC-29   Key sign-out log
> 2) DOADC-219   AFIS logo sign-out/deletion log
> 3) DOADC-224   AFIS Warrant control sign-out log
> 4) DOADC-7 Expeditor serial number receipt
> 5) DOADC-26   Serial number form receipt log

The purpose of the audit is to ensure that all policies and procedures are followed and that an audit trail can be followed from obtaining the key to unlock the logo diskette: to remove the logo diskette and warrants from the I/O operations vault; correctly log the warrants printed; replaced the diskette and unused checks in the I/O vault; strap and prepare checks for shipment to GAO.

The results of the weekly audit are forwarded to the operations manager, who will contact the supervisor of the employee(s) involved. No formal report is created via the weekly audits, these audits are performed to ensure that procedures are followed and if procedures are not followed, the supervisors are quickly notified and work to solve any problems.

QUARERLY AUDIT

1. The operations manager will perform an audit during the first week of each quarter. The audit will include:

> 1) DOADC-29   Key sign-out log
> 2) DOADC-219   AFIS Logo sign-out/deletion log
> 3) DOADC-224   AFIS Warrant Control sign-out log
> 4) DOADC-7   Expeditor Serial Number Receipt Log
> 5) DOADC-26   Serial Number Form Receipt Log

The purpose of the audit is to ensure that all policies and procedures are followed and that an audit trail can be followed from obtaining the key to unlock the Logo Diskette, to removing the logo diskette and warrants from the I/O operations vault, correctly log the warrants printed, to replacing the diskette and unused checks in the I/O vault strapped and preparing checks for shipment to GAO.

The results of the quarterly audit are forwarded to the Data Center Manager. The operations manager will send a memo to the supervisor of each individual citied in the results of the audit, a copy of the audit, the memos sent to employees and the responses from the employees.

SEMI-ANNAUL AUDIT

1. An audit of the processes and written procedures will be conducted on a semi-annual basis by the security area. The audit report will be sent to the Data Center Manager.

2. The Data Center Manager shall require a written response to all findings and recommendations. The report and responses will be forwarded to DOA Information Services Division (ISD) Assistant Director for review.

3. The Assistant Director of ISD after review forwards the report to GAO for review.

SECTION 21595.07 BACKUP AND RECOVERY

AFIS warrants are to be delivered to GAO by 09:00 a.m. If the DOA Data Center 4635MX MICR printer is down and cannot be repaired in time, the I/O supervisor will notify DES control at 542-4812 of our need to use their 4625MX MICR printer. Approval by DES Control must be given prior to performing the following:

1. Call DES control and obtain permission to use their MICR Printer.

   HOST TO HOST

2. A. Host to Host transfer will be done to print the payroll warrants at DES. This is done by routing the warrant output "AFWR" to DES. While in sdsf simply overtype the "LOCAL" with "N$$" and overtype the output class "5" to "H." The job has to be out of the hold queue.

   DOWNLOAD TAPE

   B. If host to host transfer is not possible, the following is still an option. Call the operations help desk and have them create a cartridge of the file. The dataset name is given in the manual. The I/O supervisor will give operations the job number for "PWAR" for downloading.

3. The I/O supervisor will take the following items to DES Control:

   a. The floppy logo's diskette
   b. The floppy doatst.jsl diskette

    c. Warrant paper

    d. The cartridge (file) from DOA to be downloaded at DES, if tape downloading is required

4. DES Control Personnel will operate their own equipment. The Des Control employee will follow the steps outlined at the end of this section (DES Procedures). After the warrants are printed, the supervisor will verify that DES system have deleted all "LOGO'S"

NOTE: Two DOA employees are required to go to DES Control: one must be the supervisor and an appointed employee. It will be the supervisors responsibility to sign out the floppy (LOGO'S) diskette. This function will be mandatory with no exceptions.

INSTRUCTION TO DES

All security and control measures will be followed as per procedures. It is the responsibility of the supervisor or designate to make sure the warrant file (copy) is deleted from the system and the logos are taken off the MICR printer when done.

1. Check the bar code at the Xerox console:

    A. Load the aux-tray with "NO-HOLE" paper.

    B. Unload tray 1 & 3 leave unloaded until warrants are done.

    C. Once the bar lien is correct, place the warrant paper in tray "4" face up and green warrant portion away from you.

2. Insert the "AFIS LOGO" Floppy disk in the 4635MX MICR controller.

3. At the IBM Console, set the printer up for warrants, the form name is "AFWR" for more information on printer commands, refer to section 21514.2.

4. Now we are ready to start the Xerox Printer, at the Xerox Console enter:

"@AFISCHK"

NOTE: The system will then prompt with four questions. If all four actions have been done, enter the "Y" command. The system will then load all files from the floppy. When all files have been loaded into the system you will see:

****ATTENTION YOU MAY REMOVE CHECK RESOURCE FLOPPY****

        You can then remove the floppy.

5.   As soon as the warrants start to print stop the Xerox Printer and verify the warrants.

6.   When warrants are done printing, enter the command "END." The job will end then the system will automatically delete all.

"FONT, FORMS, ND LOGO'S"

7.   Remove all warrant paper from the printer.

8.   Feed "AUX" (no hole paper).

9.   Now you are ready to print the "Audit Log Report."

10.   Go to system control icon (The terminal icon).

11.   Select "Audit Log."

12.   Select "Afischeck" then click the "Print"

13.   At the "Audit log print options" click "Detail" and "All" then click apply/close. The report will then print.

14.   You can "Close All" windows

15.   Send "Audit Report" with warrants

       Note: If printer jams, remove all purged sheets from purge bin and send with audit report reprints and blanks.

16.   After the warrant and audit report are done, verify that there are no duplicate or damaged warrants by visually checking. Void all duplicated/damaged warrants. Send all warrants, banner pages, and accounting pages to GAO with audit.

17.   Return to the Data Center with

        A. The floppy (logo's) diskette
        B. Unused warrant paper
        C. The used warrants paper (checks) which now must be processed per normal procedures.